



ATTORNEY DOCKET NO.  
11321-P014US

1773  
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PATENT

UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley et al.

Group Art Unit: 1773

Serial No.: 09/935,995

Filed: August 23, 2001

Title: POLYMER-WRAPPED SINGLE WALL  
CARBON NANOTUBES

CERTIFICATE OF MAILING

I hereby certify that this Third Supplemental Information Disclosure Statement with SB/08 A-B (Form 1449) and (2) references are being deposited with the U.S. Postal Service as first class mail with sufficient postage in an envelope addressed to Commissioner of Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450, on June 9, 2004.

GRACIE SOLIS

**THIRD SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313

Dear Sir:

This Third Supplemental Information Disclosure Statement is being submitted in connection with the above-identified application for patent. Applicant submits herewith patents, publications or other information of which they are aware, which it believes may be material to the patentability of this application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. § 1.56.

While this Third Supplemental Information Disclosure Statement may be "material" pursuant to 37 C.F.R. § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to herein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Third Supplemental Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 C.F.R. § 1.56(a) exists.

The attached form, PTO-1449, provides a listing of patents, publications, or other information as required by 37 C.F.R. § 1.98(a)(1).

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**11321-P014US**

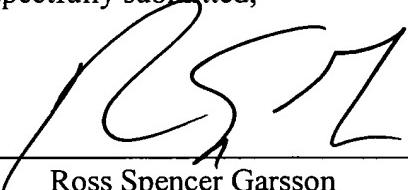
**PATENT**

A copy of each of the items identified on the attached Form PTO-1449 is supplied herewith, except for the pending patent applications, for which no copies are being submitted.

Applicant believes that the mailing of a first Office Action on the merits has not occurred in this Application. Furthermore, no item of information contained in this Third Supplemental Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in this Third Supplemental Information Disclosure Statement was known to any individual designated in § 1.56(c) more than three months prior to the filing of this Third Supplemental Information Disclosure Statement. Accordingly, Applicant believes that no fee is due at this time. 37 C.F.R. §§ 1.97(b)(3), (c)(1) and (e)(2). However, the Commissioner is hereby authorized to charge any fees to the Deposit Account No. 23-2426 (11321-P014US).

Respectfully submitted,

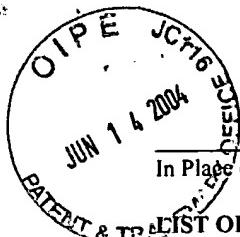
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11321-P014US 06/07/2004



In Place of FORM PTO-1449 (Modified)

**LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANTS' INFORMATION DISCLOSURE  
STATEMENT**

Serial Number: 09/935,995  
Applicants: Richard E. Smalley et al.  
Filing Date: August 23, 2001  
Group: 1773  
Atty. Docket Number: 11321-P014US

Reference Designation

**U.S. PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
AAA	6,630,772 B1	10/07/2003	Bower et al.	313	311	
ABA	US 2003/0075682 A1	04/24/2003	Colbert et al.	250	306	
ACA						

**FOREIGN PATENT DOCUMENTS**

Examiner Initial	Document Number	Date	Country	Class	Subclass	Translation Yes No
X ADA	0 989 579 A2	03/29/2000	Europe			
AEA						
AFA						

**OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner Initial

AGA

AHA

AIA

AJA

Examiner:

Date Considered:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

AUSTIN\_1\251940\1  
11321-P014US 06/07/2004

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